NT Health Study Termination / Close-out Procedure

Study Termination / Close-out

Version 1 – Aug 2020

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| **Document title** | NT Health Study Termination / Close-out Procedure |
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| **Approved by** | Chief Health Officer |
| **Date approved** | 23 October 2020 |
| **Document review** | Annually |
| **TRM number** | <NA if not required> |

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| --- | --- | --- | --- |
| Version | Date | Author | Changes made |
| 1.0 | 01Aug2020 | Jane Nelson | V1.0 |

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| Acronyms | Full form |
| AE | Adverse Event |
| CRG | Collaborative Research Group |
| CTN | Clinical Trial Notification Scheme |
| CTX | Clinical Trial Exemption Scheme |
| DSMB | Data Safety Monitoring Board |
| DSMC | Data Safety Monitoring Committee |
| HREC | Human Research Ethics Committee |
| NT | Northern Territory |
| RGO | Research Governance Officer |
| SAE | Serious Adverse Event |
| SAR | Serious Adverse Reaction |
| Site PI | Site Principal Investigator |
| Sponsor | Has oversight and responsibility for the entire study |
| SSI | Significant Safety Issue |
| SUSAR | Suspected Unexpected Serious Adverse Reaction |
| TGA | Therapeutic Goods Administration |
| URSAE | Unexpected and Related Serious Adverse Event |
| USADE | Unanticipated Serious Adverse Device Effect |

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# Purpose

To describe the procedures to be performed by the Site Principal Investigator (Site PI) in relation to study termination/closure of a clinical trial.

# Related Internal Guidance

[Hardcopy Records Management](http://internal.health.nt.gov.au/governance/records/trim/Pages/default.aspx)

[Electronic Records Management](http://internal.health.nt.gov.au/governance/records/edrm/Pages/default.aspx)

# Background

Study site closure is the process to reconcile and/or complete all study-related activities at a study site following the termination of a clinical trial. Study closure is required when all trial participants have completed the last study visit, all follow-up activities have been completed including data cleaning and the database is ready for locking. When a study is prematurely terminated for any reason, the study closure process is still required.

# Procedures

## General

1. All closure activities must be fully documented.
2. The Site PI and the team should prepare for the study closure visit to be performed by the Monitor:

* Arrange a time to conduct the study closure visit with the Monitor.
* Request the Monitor to provide an agenda for the closure visit.
* Invite all involved study team members such as the Pharmacist to join the closure visit when necessary.

1. For Site PI Initiated studies that have not engaged with a study monitor you are still required to close-out your trial, please ensure that you refer to the ‘close-out tool/checklist’.

## Premature Termination / Suspension of a Study

Premature termination or suspension of a study could be due to poor enrolment rates, safety concerns or lack of treatment efficacy, this decision is often informed by the independent Data Safety Monitoring Board/Committee (DSMB)/(DSMC). The Site PI should ensure that the following activities are implemented:

1. All Participants should be informed promptly of the reason for the premature study termination or suspension.
2. The Site PI should ensure that a termination plan describing the follow-up arrangement of Participants is available and provided to the Research Governance Office.
3. If the Site PI terminates or suspends a trial without prior agreement of the Sponsor, the Site PI should inform the Research Governance Office where applicable, and the Site PI / Research Governance Office should promptly inform the Sponsor and should provide the Sponsor a detailed written explanation of the termination or suspension.
4. If the Sponsor terminates or suspends a trial, the Site PI should promptly inform the Research Governance Office where applicable.
5. If the HREC terminates or suspends a study, the Site PI should inform the Research Governance Office where applicable, and the Site PI/ Research Governance Office promptly notifies the Sponsor and provides the Sponsor with a detailed written explanation for the study termination.

## Adverse Events: SAE, SAR, SSI, SUSAR/USADE/URSAE

1. Check if there are any unresolved adverse events (AEs), Serious Adverse Events (SAEs), Serious Adverse Reaction (SAR), Significant Safety Issue (SSI), Suspected Unexpected Serious Adverse Reaction (SUSAR), Unanticipated Serious Adverse Device Effect (USADE), Unexpected and Related Serious Adverse Event (URSAE).
2. Follow up any reported Adverse Events until the events have subsided, returned to baseline or, in case of permanent impairment, until the condition stabilizes.
3. Record and report Adverse Events in accordance with the protocol, applicable standard operating procedures, and ethics committee and regulatory requirements.

## Study Document Review

1. Review the Investigator’s Site File ensuring that all the essential trial documents are properly filed.
2. Ensure that all study-related forms and logs, such as the participant screening and enrolment log, are completed.
3. The Site PI should complete and sign the site staff signature and task delegation log.

## Case Report Forms & Data Queries

1. Perform a final check to verify whether all Case Report Forms have been completed and all data is entered into the trial specific database.
2. Check all data discrepancy, missing data with source if appropriate, if data queries are unable to be resolved then this should be noted and filed appropriately.
3. Once all the data queries are resolved and the data is considered clean the database should be locked to any further changes.
4. The database should be locked prior to any unblinding procedures for analysis occur.
5. For Investigator Initiated or Collaborative Research Group (CRG) where study information may be stored on NT Department of Health assets the Site PI must ensure that they follow complete the archiving research requirements form to corporate memory of the electronic storage of databases.

## Investigational Product Accountability and Disposition

1. Ensure that all accountability records indicating the amount of investigational products (IPs) received, dispensed, returned and remaining at the site is available.
2. Check to verify that all accountability records are complete and accurate.
3. Depending on the arrangements of reconciliation of IPs for the study, the Site PI will either arrange return of the IPs to the Sponsor or disposal of IPs locally.
4. Steps a to c should be documented within the Investigator Site File.
5. If envelopes are used for treatment allocation and/or unblinding, the Site PI should do a final check against the IP dispensed and unblinding status.
6. Return all envelopes to the concerned party, e.g. Sponsor or Statistician. This should be documented in the Investigator Site File.

## Study Specimens

1. Perform a final check of the specimen log, including marking or noting of any specimens that are to be destroyed if consent does not permit ‘future use’.
2. Ensure the study specimens are sent out to the concerned laboratory (ies) in accordance with the study requirements.
3. When archiving of specimen is required at the study site, the records for these specimens should be kept appropriately for future retrieval. Please ensure you comply with the regulatory requirements and participant consent for archiving length.
4. This should be documented in the Investigator Site File.

## Study Supplies

1. Confirm with the Sponsor the arrangements on reconciliation of study supplies, e.g. computers, centrifuge, laboratory kits.
2. Arrange local disposal of study supplies such as laboratory kits in accordance with the local regulation.
3. Arrange return of any loaned equipment to the concerned departments/parties.

## Records Retention Requirements

1. For sponsored studies, check the requirements of records retention as stated in the clinical trial research agreement.
2. Ensure the [Retention and Disposal Guidelines](http://internal.health.nt.gov.au/governance/records/retention/Pages/default.aspx) are adhered to for records retention and archiving requirements.
3. Liaise with the personnel of the hospital records department about retention of [Participants’ medical records](http://internal.health.nt.gov.au/governance/records/retention/Pages/default.aspx).
4. Complete the ‘Archiving Research Requirements (Electronic and Paper form’) and submit to the [nthealth.rgo@nt.gov.au](mailto:nthealth.rgo@nt.gov.au)

## HREC and Regulatory Body Notification

1. Notify the HREC and RGO of the study closure in accordance with the HREC & RGO requirements.
2. At minimum, a final report should be summited to the HREC and RGO.
3. For studies with a Clinical Trial Notification (CTN) or Clinical Trial Exemption (CTX) or device, the Sponsor / Collaborative Research Group (CRG) should update the Therapeutic Goods Administration (TGA) through the CTN, CTX that the study has closed.
4. The Sponsor / CRG should update the trials registry of the studies status including reviewing the data sharing statement.
5. In case of premature study termination, inform the HREC and RGO in writing the reasons for the termination, including any follow-up arrangements for Participants, and if applicable, also inform the regulatory body.

## Study Closure Conclusion and Other Follow-up Actions

1. For sponsored studies, all outstanding payments should be reviewed and all respective invoices should be sent to the Sponsor.
2. The Site PI should maintain the Sponsor’s contact details for further communications.
3. The Site PI should meet with the entire study team and review the trial from start to finish for areas of improvement in conducting future clinical trials.
4. The Site PI should revoke access to NT Health electronic records for all Non NT Health study team members.